

JUL 26 2005

PTO:3B/17 (12-04v2)  
Approved for use through 07/31/2008. CMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>Effective on 12/09/2004.</b> <b>Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).</b> <h2 style="margin: 0;">FEE TRANSMITTAL</h2> <h3 style="margin: 0;">For FY 2005</h3>		<b>Complete If Known</b>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Application Number <b>09/758,777</b>	
		Filing Date <b>January 11, 2001</b>	
		First Named Inventor <b>Alan Shapiro</b>	
		Examiner Name <b>Graham, C.B.</b>	
		Art Unit <b>3828</b>	
TOTAL AMOUNT OF PAYMENT (\$)		510.00	
		Attorney Docket No. <b>103569/43140</b>	

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 ☐ Credit Card  
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**FEE CALCULATION**

**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES**

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

**Total Claims**      **Extra Claims**      **Fee (\$)**      **Fee Paid (\$)**  
 - 20 or HP = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_  
 HP = highest number of total claims paid for, if greater than 20.

**Indep. Claims**      **Extra Claims**      **Fee (\$)**      **Fee Paid (\$)**  
 - 3 or HP = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_  
 HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
_____	_____	_____	_____	_____

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount) \_\_\_\_\_

Other (e.g., late filing surcharge): Amendment and Response to Office Action (3 month extension fee) \_\_\_\_\_ **510.00**

<b>SUBMITTED BY</b>		Registration No. <b>48,165</b>	Telephone <b>212-649-4700</b>
Signature		(Attorney/Agent)	Date <b>July 26, 2005</b>
Name (Print/Type) <b>Boris A. Matvenko</b>			

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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JUL 26 2005

**GIBBONS, DEL DEO, ~~DOLAN~~, GRIFFINGER & VECCHIONE**A PROFESSIONAL CORPORATION  
ATTORNEYS AT LAWONE PENNSYLVANIA PLAZA, 37<sup>TH</sup> FLOOR  
NEW YORK, N.Y. 10119-3701OFFICE: (212) 649-4700  
FACSIMILE: (212) 333-5980**Telecopy Cover Sheet**TELECOPY NUMBER: (571) 273-8300 CONTACT NUMBER: (212) 649-4700**PLEASE DELIVER THE FOLLOWING PAGES TO:**NAME: Mail Stop Response, Commissioner for Patents  
FROM: Boris A. Matvenko, Reg. No. 48,165  
RE: 103569 - 43140 DATE: 7/26/2005  
Client MatterTOTAL NUMBER OF PAGES TRANSMITTED, INCLUDING THIS SHEET: 27TRANSMITTED BY: Lupe Serrano TIME OF TRANSMISSION: \_\_\_\_\_**MESSAGE:**

Sir:

An Amendment and Response Under 37 C.F.R. § 1.111 to the Office Action, dated January 27, 2005, in the U.S. Patent Application No. 09/758,777 is hereby respectfully submitted.

**\*\*\*CONFIDENTIALITY NOTE\*\*\***

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PTO/SB/07 (09-04)

Approved for use through 07/31/2008. OMB 0851-0031

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The following is being submitted to the United States Patent and Trademark Office with regard to U.S. Patent Application Serial No. 09/758,777:

- Transmittal Form
- Fee Transmittal Form
- Amendment and Response
- Certificate of Transmission

This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/21 (09-04)

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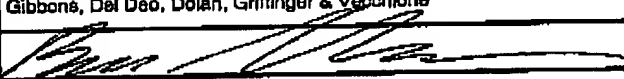
Application Number	08/758,777
Filing Date	January 11, 2001
First Named Inventor	Alan Shapiro
Art Unit	3828
Examiner Name	Graham, C.B.
Attorney Docket Number	103589/43140

**ENCLOSURES (Check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): - Certificate of Transmission
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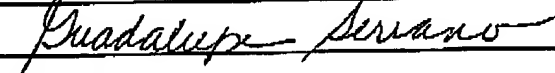
Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	Gibbons, Del Deo, Dolan, Griffinger & Vecchione		
Signature			
Printed name	Boris A. Matvenko		
Date	July 26, 2005	Reg. No.	48,166

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Signature			
Typed or printed name	Guadalupe Serrano	Date	July 25, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1450.

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Alan Shapiro

Examiner: Graham, C. B.

Serial No.: 09/758,777

Group Art Unit: 3628

Filed: January 11, 2001

Confirmation No.: 1711

Attorney Docket No.: 103569/43140

Title: **PREDICTIVE AUTOMATE ROUTING SYSTEM (PARS) FOR  
SECURITIES TRADING**

Mail Stop Response  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**AMENDMENT AND RESPONSE UNDER 37 C.F.R. § 1.111**

Sir:

In response to the office action, dated January 27, 2005 please amend the present  
application as follows:

Claim amendments begin on page 2 of the amendment and response.

Applicant's Remarks begin on page 16 of the amendment and response.